

FIELD
GUIDE
TO



ON
CALTRANS
PROJECTS

*To be recognized by other
Departments of Transportation and
The construction industry
As the foremost partner
In the United States*

Vision of the Caltrans Partnering Steering Committee

Caltrans Partnering Steering Committee

This field guide is a result of the efforts of the Caltrans Statewide Partnering Steering Committee, and specifically, the Guidelines Subcommittee. Without the efforts of the following committee members over the past year this field guide would not have been possible.

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PARTNERING

Field Guide to Partnering on Caltrans Projects

This guide is written for both Caltrans and contractor personnel
working at the project level
to convey Caltrans and industry commitment to partnering,
to define responsibilities for partnering, and
to provide tools for successful partnering

April, 2000

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CHAPTER 1

PARTNERING OUR WAY OF DOING BUSINESS

The most significant barrier to partnering is that
YOU MUST CHANGE.
Partner Your Project

We are Committed

The purpose of this field guide is to promote the formation and success of partnering relationships on Caltrans construction projects. Caltrans and the Construction Industry are committed to making partnering the way we do business. The world has changed – there are more people, from more diverse backgrounds, with less experience working on today’s projects, projects that are more complex than ever before. We can no longer accept that unresolved issues and claims are the norm. We will no longer accept that we are adversaries in a war of wills - the cost in dollars, resources and lost productivity is too great. We are here to tell you, our field crews and their supervisors, that partnering is the way we do business – anything short of a full commitment to partnering not acceptable.

Who wins here?

The resident engineer watched with arms folded as the contractor’s crew began a complicated concrete pour. He shook his head and said: “they’ll never make their schedule with that equipment. The bucket is too small and they’ll need another crane – they’ll spend all their time filling buckets instead of pouring concrete.” He turned and walked back to the management office, mentally preparing to deny the request for a time extension that he knew would be coming. Why didn’t he let the contractor’s project manager know of his concerns? “That’s their responsibility. They’ll find out soon enough!”

U.S. Army Corps of Engineers – Pamphlet-91-ADR-P-4

We also want to give you the tools for successful partnering. In this field guide you will find a description of many partnering concepts and processes. If you are ever in doubt as to what to do, please ask. Your manager can help, you can seek out books on the topic, or talk to peers who have a reputation for successfully partnering their projects. But remember, you can’t partner if you don’t know and understand what partnering is – so find help if you need it, because it’s up to you to make *partnering the way we do business*.

Seeking Fairness

It is your job to be fair and to act in good faith while seeking resolution to project issues and problems. If you keep this objective in mind you will never be too far from finding a solution.

Good Faith and Fair Dealing

Good faith means to proceed diligently, avoid hindering, stay within the law and delegated authority, and cooperate. Webster defines *fairness* as “marked impartiality and honesty: free from self interest, prejudice or favoritism... conforming with the established rules”

This last part is the most important since the construction contract is the set of established rules by which your fairness should be measured.

ADOT General Provisions

Even if all the parties cannot agree on what is fair, by using fairness as your benchmark you will know where you are heading, keep a dialogue open, and dramatically improve your chances for resolving the problem.

Furthermore, if both sides work to do what is in the best interest of the

project, both sides’ interests will usually be satisfied, and everyone will walk away with a sense

of accomplishment. These concepts, fairness and doing what is best for the project, are basic guidelines for partnering success. Basic, simple, and sometimes very difficult. It takes discipline and perseverance to keep these two principles in mind in the heat of conflict, but it will pay off.

What is Partnering

Partnering is simply a way of conducting business in which two or more organizations make long-term commitments to achieve mutual goals. This sometimes requires changing traditional adversarial relationships into team-based relationships. Partnering promotes open communication among participants, trust, understanding, and teamwork.

Partnering is a relationship in which:

- Trust and open communications are encouraged and expected from all participants.
- All parties address and resolve issues and problems promptly and at the lowest possible level. They strive to develop solutions that are agreeable and meet the needs of everyone involved (win-win approach).
- All parties have identified common goals for the partnership and at the same time are aware of and respect each other's goals and values.
- Partners seek input from each other in an effort to find better solutions to the problems and issues at hand. This creates synergy in the relationship that fosters cooperation and improves the productivity of the partnership.

Win-Win Negotiations

Too often people think of a win-win solution as "splitting the difference" so both parties share the pain. In fact, a win-win solution is where both parties get all or most of what they need and their true interests in the outcome have been satisfied.

For example, the contractor demands additional compensation when he discovers the 15-foot wide work area shown on the plans is actually only 5 feet. The RE states that although the plans may be wrong, the available work area was obvious to all bidders visiting the site.

In a lose-lose scenario, the contractor does the work as planned and files a claim that is settled in the future by sharing the cost since at that time both sides see the vulnerability of their positions.

In a win-win agreement, the contractor may state that he really only needs 10 of the 15 feet and both the RE and contractor, looking at traffic windows, staging, and environmental permits, find a way to obtain the additional 5 feet.

The key is to do this before the work is done and the money is spent, and to brainstorm many different options. Delaying the negotiations or discussion of a dispute until after the work is complete frequently results in a strict debate over financial responsibility.

Partnering Objectives

Owners of construction projects across the country pay tens of millions of dollars each year in interest and legal costs for claims that remain unresolved for long periods of time. This is money that could be used to fund additional projects. Caltrans is no exception. For contractors, unresolved claims mean fewer funds to reinvest in other enterprises, and, in extreme cases, may

even threaten their companies' existence. Affecting both owners and contractors, beyond money and often even more damaging, are the negative attitudes and damaged working relationships that result when issues and claims remain unresolved, leading to poor communications and lost productivity. This is the classic lose-lose situation. The objective of partnering is to turn this situation around.

Without partnering, both Caltrans and the Contractor are gambling that they will be able to convince a third party, board of review, or arbitrator of their position months or years later. This in itself is a huge risk.

The use of partnering in the public sector has grown significantly in recent years. In 1998 the Caltrans Statewide Partnering Charter outlined the following objectives for partnering:

- Claims mitigated and resolved promptly
- Increased job satisfaction
- Higher quality
- Safer projects
- Reduced delays
- Reduced total project costs

Your job is to keep these objectives in mind as you manage your projects. They are the targets for which you are aiming.

Partnering Values

What we value we do. Each project has its own culture, its norms or "way of doing business". The following is a list of partnering values, attributes of the way we want to do business as partners. As project leaders, your job is to instill these values into your projects, and to identify and overcome any barriers that interfere with their achievement.

Fairness
Cooperation
Trust
Open and Honest Communication
Teamwork
Joint Problem Solving
Working for Mutual Gain
Rapid Dispute Resolution at the Field Level

Role of the RE and PM

The Resident Engineer (RE) and the Project Manager (PM) are responsible for leading the partnering effort. As the project leaders, they are accountable for the day-to-day operations of the project, and as such are in the perfect place to promote partnering. They are key to partnering's success (or failure).

The RE and PM, working together, must decide how to lead the partnering effort on each project. They should have clear objectives in mind as to what they want to accomplish through partnering. At the project partnering workshop, the RE and PM will act as hosts. They should be

prepared to present an overview of the project and to identify key project issues. As the hosts, they will invite, welcome, and thank all those who attend. The role of the RE and PM can be expanded to the extent they feel comfortable. They are the project leaders, and they need to take the lead in the partnering workshop. The partnering facilitator is there to help.

It is the responsibility of the Contractor's PM to oversee the construction of the work and the Contractor's operations, ensuring the Contractor fully satisfies his/her obligations, including those related to quality, as set forth in the contract. It is the responsibility of the RE to administer the contract on behalf of the State and the Contractor. The behavior of the PM and RE should model the partnering values described above and each should demonstrate to all project stakeholders their commitment to the implied warranty of good faith and fair dealing contained within the contract.

As the administrator of the contract, the RE is responsible to protect the Contractor's rights relating to the contract, as well as those of the State. To ensure that the Contractor is paid for everything he/she is owed, the RE shall act as an advocate on behalf of the contractor when appropriate.

Entitlement and Trust

The timely acknowledgment of entitlement is integral to the trust relationship between Caltrans and the Contractor. Usually when an event occurs on a project which impacts the project's cost or schedule, the question of responsibility can be determined before the associated cost can be quantified and agreed to.

In a partnered relationship, it is imperative that entitlement or acknowledgment of responsibility by either Caltrans or the Contractor never be used as a bargaining chip. Because successful partnered projects rely on forthright communication between the parties, we will acknowledge entitlement, whether partial or in full, immediately upon determination that we bear responsibility.

CHAPTER 2

STARTING THE PROCESS

*There is no such thing as a self-made man
You reach your goals only with the help of others.*
George Shin

Your Pre-Construction Meeting

The pre-construction meeting is an important step in creating your partnering relationship. Many times the pre-construction meetings are sessions where the RE only lays out the rules and is typically not prepared to answer questions from the contractor. Most attendees walk away believing that this meeting could/should have been more effective.

A joint task force (Caltrans and Industry) investigated and developed a model pre-construction letter to improve the effectiveness of the pre-construction conference. A copy of this letter is in the appendix. This letter should be sent out approximately one week after the announcement of the low bidder. The letter includes a questionnaire for the contractor and subcontractors completion which will assist the RE in preparing for the pre-construction meeting and enable the RE to better respond to the questions the contractor needs answered.

When You are Not Formally Partnering

It was recognized that some projects do not go through a formal partnering process (although it is always encouraged to do so). The reasons for not having a formal partnering may be due to the size of the project or the culture of the contractor, however, even without a formal partnering meeting, the partnering practices and values should be applied to all projects. The pre-construction meeting is the logical place to introduce and initiate these useful tools and techniques with all parties involved in the project. It is recommended that the following items be added to the pre-construction meeting agenda when you are using the pre-con meeting to initiate your partnering effort:

- Exchange of organizational charts
- Commitment to resolve claims at the lowest level possible
- Method of escalating unresolved issues for resolution
- Regular scheduled meetings to promote communications
- One and three-week working schedules to encourage discussion of upcoming construction activities
- Formation of teams to resolve identified contract issues
- Potential CRIPS

Making the Offer to Partner

Generally, it is specified that all Caltrans projects over one million dollars offer to formally partner. This offer should be in the form of a letter of invitation from the RE (Caltrans) to the PM (contractor). The following is a sample letter of invitation:

Dear Project Manager:

Congratulations on being the low bidder on project XYZ. We at Caltrans are committed to promoting the formation and success of partnering relationships with all our contractors on every project. Please accept this letter as my sincere invitation to work together as partners on this project. I look forward to working with you over the next XX months. I will be calling you within the next few days to discuss setting up our partnering process.

I am enclosing a copy of the Caltrans Field Guide to Partnering for your reference.

Sincerely,

Resident Engineer

Caltrans Specification Partnering Language (please check the specification for your specific project)

The State will promote the formation of a partnering relationship with the Contractor in order to effectively complete the contract to the benefit of both parties. The purpose of this relationship will be to maintain cooperative communication and mutually resolve conflicts at the lowest level possible.

The Contractor may request the formation of such a partnering relationship by submitting a request in writing to the Engineer after approval of the contract. If the Contractor's request for Partnering is approved by the Engineer, scheduling of a partnering workshop, selection of a partnering facilitator and workshop site, and other administrative details shall be agreed to by both parties.

The costs involved in providing a partnering facilitator and workshop site shall be borne equally between the State and Contractor. The Contractor shall pay all compensation for the fees and expenses of the facilitator and for obtaining the workshop site. The State's share of such costs will be reimbursed to the Contractor in a change order written by the Engineer. Markups will not be added to these costs. All other costs associated with the partnering relationship will be borne separately by the party incurring the costs.

The establishment of a partnering relationship will not change or modify the terms and conditions of the contract and will not relieve either party of the legal requirements of the contract.

When You Should Hold Your Kick-off Partnering Workshop

Your kickoff partnering workshop should be held within thirty days of the notice to proceed. This gives everyone a chance up-front to get to know each other and to work to identify project challenges, along with co-creating ways to overcome these challenges, thus setting the partnering relationship in motion.

Another reason for holding the kick-off partnering workshop early in the project is because research shows that if changes can be identified before 33% completion there will still be a high

probability of completing the project on time. After the project reaches 33% completion making changes decrease the odds of on-schedule completion exponentially.

It is also important to allow enough time for the project team be in place and to have become familiar with the project before holding the kick-off workshop. Holding the workshop before the contractor has decided how to build the project or has had time to carefully re-review the contract documents makes for an ineffective session. On the other hand, the workshop should not be held much later than ten days after work has started on the project.

Subsequent partnering sessions should be held as-needed or as-agreed upon by the project team.

Role of the Facilitator

The role of the partnering facilitator is to assist the RE and PM in developing an effective partnering process and partnering workshop(s) for the project. The facilitator is not the leader of the partnering effort. The goal is for the RE and PM to act as the project leaders – this includes leading the partnering effort. The RE and PM are encouraged, with the guidance of the facilitator, to take an active role in leading, and perhaps facilitating, the partnering session.

When there is conflict between the parties it is recommended that the facilitator take a more active role until the conflict is resolved, after which the RE and PM should once again take an active leadership role.

CHAPTER 3

SETTING UP THE PARTNERING WORKSHOP

*It is better to be prepared for an opportunity and not have one
than to have an opportunity and not be prepared.*
Whitney Young, Jr.

Determining the Length of the Workshop

The length of your partnering workshop should be commensurate with the size and complexity of the project and familiarity of the parties. Some projects just don't warrant a two-day off-site partnering session while others require not only a two-day kick-off session but multiple follow-up sessions throughout the project's duration. The following assessment has been developed to help you determine the best length for your partnering session. The assessment takes into account that there are different types of contracts and different personality types involved in each project.

TIME/NEEDS IMPACT			SCORE
Number of Attendees	for 5-10	score 1	
	for 11-20	score 2	
	for more than 20	score 3	
Number of Key Organizations	for 3 or less	score 1	
	for 4-6	score 2	
	for more than 6	score 3	
Size of Project	if small	score 1	
	if medium	score 2	
	if large	score 3	
Complexity of Project	if not complex	score 1	
	if complex	score 2	
	if very complex	score 3	
Difficulty of Project	if routine to challenging	score 1	
	if difficult	score 2	
	if very difficult	score 3	
Relationships/Reputations	if good	score 1	
	if unknown-to-poor	score 2	
	if poor-to-bad	score 3	
Partnering Experience	if experienced	score 1	
	if some experience	score 2	
	if new to partnering	score 3	
reprinted with permission from <i>Partner Your Project</i>			

Low scores (1s) indicate that a ½-day session is most appropriate, or perhaps an expanded pre-construction meeting including the expanded agenda discussed in the following section. Middle scores (2s) suggest that a one-day session is appropriate. High scores (3s) indicate that a two-day workshop or a series of workshops over the duration of the project is appropriate. Use this assessment as an indicator – your good judgement and common sense should always prevail.

Sample Workshop Agenda

Your facilitator is responsible for designing your partnering workshop agenda. The agenda should be developed to meet the specific needs of your project (this will be discussed further later). Here is a sample one-day and two-day agenda.

Sample One-Day Partnering Workshop Agenda

7:30am	Continental Breakfast
8:00am	Welcome (RE and PM) Introductions and Project Organizations Partnering Overview Project Overviews (RE and PM) Vision/Mission Statement Potential Project Issues Key Issues for Success
noon	Lunch
	Creative Problem Solving/Commitments for Key Issues Development of a Dispute Resolution Process Evaluation Process Signing of the Partnering Agreement
4:00pm	End of Session

Sample Two-Day Partnering Workshop Agenda

Day 1		Day 2	
7:30am	Continental Breakfast	7:30am	Continental Breakfast
8:00am	Welcome (RE and PM) Introductions and Project Organizations Expectations/Rules Partnering Overview Team Building Activity	8:00am	Recap of Day One Homework Assignment Sharing of job requirements Sharing of Most Valuable Experience Project Overview Potential Project Issues Key Issues (3-5) Creative Problem Solving for Key Issues Problem Finding Fact Finding Solution Finding Goal Setting and Action Planning
noon	Lunch		
	Team Building (continued) Partnering Lessons Learned/Paradigms Vision/Mission Homework Assignment: My job requirements and Most Valuable Experience	noon	Lunch
4:30pm	End of Day One		Creative Problem Solving (continued) Development of a Dispute Resolution Process Signing of the Partnering Agreement Closing Remarks and Thanks (RE & PM)
5:30pm	Group Dinner		
		4:00pm	Session Ends

Deciding Who Needs to Attend

One of the most important contributors to the success of your partnering workshop is the invitation and attendance of all the stakeholders who can impact your project. The following list is provided as a guideline.

	<u>Caltrans</u>		<u>Contractor</u>
Resident Engineer	Project Engineer	Project Manager	Key suppliers
Construction Engineer	Area Maintenance Sup	Jobsite Supervisor	Lab (QC/QA jobs)
Construction Manager	Chief of Construction	Project Engineer	Local management
Structures Rep.	Senior Structures Rep.	Subcontractors	
Project Manager	Surveys	Senior Management (e.g. Area Manager,	
Lab (QC/QA rep)	Traffic Manager	Operations Manager, VP, President, Owner	

Critical third parties (other agencies, utilities, etc), or anyone who could potentially stop or delay the project

The RE and PM should sit down together and develop a list of who needs to attend the partnering workshop given the challenges they are facing and the nature of the project. A “notice of meeting” or invitation should be sent out two-to-four weeks in advance of the partnering session. The invitation should come from and be signed by both the RE and PM, and request that each invitee confirm their attendance. Here is a sample letter of invitation:

<p>Date</p> <p>To: XXX XXX</p> <p>From: Resident Engineer Project Manager</p> <p>Subject: Partnering Workshop for XYZ Project</p> <p>You are cordially invited to attend our partnering workshop for the XYZ Project. Caltrans and Contractor are committed to working together on this project and your involvement is extremely valuable to the success of the project. We are excited about leading the partnering effort and want to start it off with a XX-day partnering workshop. As we have already agreed, the workshop will take place as follows:</p> <p>Date:</p> <p>Time:</p> <p>Location:</p> <p>Please confirm, by phone or fax, that you will be attending our workshop. We are very excited about making this a great project. We can be reached at:</p> <table> <tr> <td>RE [phone number]</td> <td>PM [phone number]</td> </tr> <tr> <td>RE [fax number]</td> <td>PM [fax number]</td> </tr> </table> <p>Sincerely,</p> <p>RE PM</p>	RE [phone number]	PM [phone number]	RE [fax number]	PM [fax number]
RE [phone number]	PM [phone number]			
RE [fax number]	PM [fax number]			

Preparing for the Workshop

Guided by your facilitator, the RE and PM should meet to discuss and prepare for the partnering workshop. This will probably require more than one meeting before the partnering workshop. The first meeting will probably involve selecting the facilitator and potential dates and locations for the session. Once the facilitator is selected, with his/her assistance, a list of attendees will be

developed, making sure that the session date(s) work for the key participants – at which time the date is finalized and invitations are issued to all attendees.

The RE and PM should discuss their objectives for partnering the project – what does each hope to gain/accomplish? This information should be given to the facilitator for use in designing the session to meet the objectives.

The second meeting between the RE and PM will be used to prepare presentations. The RE and PM will be taking the lead during the partnering session. They will welcome everyone to **their** session, be prepared to present an overview of the project, have a list of potential/actual project issues, and may have even developed a mission statement for the project. If they so choose, they can take the lead on any of the exercises. All of this should be discussed with the facilitator so she/he can assist.

Experience has shown that preparation is key to feeling comfortable with a leadership role. The RE and PM should bring along charts, graphs, photos, graphics, and anything else that they feel will help them explain **their** project.

Sample Partnering Charter/Agreement

At the end of the partnering workshop the participants sign a partnering charter (agreement). This agreement includes all of the principles and commitments made during the partnering session. This is not a legal document, rather, it is a personal commitment of those attending the session that they will assist the RE and PM in ensuring the project is a success. A sample charter is in Appendix C. Your partnering charter can be displayed at the jobsite for the crews to see. It should be a symbol and reminder of the commitment you have made that this project will be a true partnership.

CHAPTER 4**TOOLS TO ASSIST IN MAKING YOUR PARTNERSHIP A SUCCESS**

Don't wish it were easier, wish you were better.

Jim Rohn

Training the Project Team

When partnering fails, many times it is because the project team leaders and team members don't know how to make it succeed. To remedy this, a new specification has been developed which will allow joint training in partnering concepts on projects where it is specified (which is likely to be on larger, more complex projects).

If it is specified on the project, it is suggested that the project team attend a joint training session on partnering concepts and leadership two to three weeks before the partnering workshop. Joint training is an opportunity for the project team to come together to learn skills that can be applied directly to the project. It allows the project team to develop a common language and approach to the project and to partnering.

In addition to partnering concepts and leadership training, the Caltrans Partnering Steering Committee has identified the following other topics for field personnel training:

Problem Solving	Decision Making	Empathy
Cultural Diversity	Facilitation Skills	Communication
Win-Win Negotiation	Conflict Resolution	Leadership
Listening	Change Management	Time Management
Running Effective Meetings	Emotional Intelligence	360° Feedback
Building Teams	Project Organization	Project Management
	Ethics	Dealing with difficult people

Please note that you will need to look for a program on these subjects that is customized for construction.

Caltrans believes that joint training is a significant tool to ensure successful partnering, and therefore Caltrans will bear the full cost of this joint training (if training is specified). The cost of training will be paid as extra work. The training specification (currently only used on toll bridge projects) states:

The State will promote the formation of a "Partnering" relationship with the Contractor in order to effectively complete the contract to the benefit of both parties. The purpose of this relationship will be to maintain cooperative communication and mutually resolve conflicts at the lowest responsible management level.

A one-day "Training in Partnering Concepts" session will be conducted regardless of whether the Contractor requests the formation of a "Partnering" relationship. The training session will be conducted locally for the Contractor and the Engineer's project representatives. The Contractor shall be represented by a minimum of 2 representatives, one being the Contractor's authorized representative pursuant to Section 5-1.06, "Superintendence," of the Standard Specifications. If,

upon the Contractor's request, "Partnering" is approved by the Engineer, "Training in Partnering Concepts" will be conducted prior to the "Partnering Workshop." Scheduling of the "Training in Partnering Concepts" session and selection of the trainer and training site shall be determined cooperatively by the Contractor and the Engineer.

The Contractor may request the formation of a "Partnering" relationship by submitting a request in writing to the Engineer after approval of the contract. If the Contractor's request for "Partnering" is approved by the Engineer, scheduling of a "Partnering Workshop," selecting the "Partnering" facilitator and workshop site, and other administrative details shall be as agreed to by both parties.

The costs involved in providing the trainer and training site for the "Training in Partnering Concepts" session will be borne by the State. The Contractor shall pay all compensation for the wages and expenses of the trainer and for the expenses of obtaining the training site. The State will reimburse the Contractor for these costs as extra work in conformance with the provisions in Section 4-1.03D of the Standard Specifications. Full compensation for the wages and expenses of the Contractor's representatives, including travel costs, shall be considered as included in the contract prices paid for the various items of work and no additional compensation will be allowed therefor.

The costs involved in providing the "Partnering Workshop" facilitator and workshop site will be borne equally by the State and the Contractor. The Contractor shall pay all compensation for the wages and expenses of the facilitator and for the expenses of obtaining the workshop site. The State's share of these costs will be reimbursed to the Contractor in a contract change order.

Markups will not be added to the costs of providing the "Training in Partnering Concepts" trainer and site or to the costs of providing a "Partnering Workshop" facilitator and workshop site. All other costs associated with the "Partnering" relationship will be borne separately by the party incurring the costs.

The establishment of a "Partnering" relationship will not change or modify the terms and conditions of the contract and will not relieve either party of the legal requirements of the contract.

Weekly Meetings

A weekly project meeting can be one of your best partnering tools. Good communications and planning are critical to a successful project. A well planned and run weekly progress meeting provides the team an opportunity to bring up issues, concerns, and ideas on a regular basis. A weekly project meeting can help everyone working on the job understand the schedule, coordinate work, and to identify and resolve issues by bringing everyone together involved in one place, at the same time, to discuss the status of the project and to plan the week ahead. A good meeting has these attributes:

It starts on time - A project meeting should always start on time; this will train everyone to be on time. If the meeting is set for 9:00am, then that is when it should start. If you get in the habit of starting ten or fifteen minutes late, everyone will arrive ten or fifteen minutes late because those who come on time are penalized.

It ends on time - There should be a set amount of time allotted for the meeting. If the meeting is set for 45 minutes, then it ends in 45 minutes. Any issues not discussed or resolved are held over to the next meeting or worked on outside of the meeting.

There is an agenda - The Resident Engineer and the lead for the general contractor should put together the agenda. The agenda should include the issues from the subs and suppliers. The agenda, while fixed, should have enough flexibility to discuss new issues

as they occur. Plus, the agenda must not "lose" old issues that are still open. A good agenda covers

- The schedule (what work is planned) and how you, as a team, are going to accomplish it over the next week
- Unresolved or outstanding issues - so that you can either resolve them or elevate them up the dispute resolution ladder
- New issues which need resolution

If you have a stubborn or particularly complex issue, you may need to set up a separate meeting for its resolution.

A record is made of agreements and outstanding issues (minutes) - Some type of meeting minutes are required so that everyone knows what was agreed to and what is still unresolved (the minutes will be very helpful two years down the road when questions arise). Minute taking is best done as a shared effort (responsibility alternating between Caltrans and contractor). You don't need to do "formal" minutes, just be sure to record agreements and outstanding issues. The minutes do need to be distributed to the entire project team - this is your best form of communication project wide. Some projects are using email to distribute their minutes.

The people needed for discussion and to make decisions are there – In order to have an effective meeting the people effected by the meeting must be present. It is frustrating to everyone if the people involved in an issue under discussion are not there; this wastes the time of those present. It is the RE and PM's job to make sure the appropriate people are invited to the meeting and that they show up.

Attention is on the meeting, not elsewhere – Interruptions from pagers and cell phones distract everyone, making the meeting drag on, and preventing everyone from hearing everything (discussions and agreements). When you're at the weekly project meeting, keep your attention there. If everyone stays focused on the meeting it can start on time and end on time, and you'll all be out more quickly than if everyone keeps being interrupted.

Another good idea to facilitate communication is for the project superintendent and inspector to meet before the start of each shift to discuss the work planned for the day. They'll be able to agree on an approach and to discuss potential problems.

Communication

Good communication means that there are no surprises on your project. It means that one day you won't open a letter to find that someone is upset about something that you have never heard of before. The project team should commit to not writing letters without talking to each other first. Talking first gives everyone an opportunity to make sure they understand the issue(s) and to try to work things out before positions are put in writing. If you do end up putting your position in writing, the recipient should know that the letter is coming and what it says.

Technology is offering field teams new and diverse ways of communicating (email, web sites, etc.). If possible, try adapting your projects to take advantage of these new technologies.

Experts tell us that 75-80% of good communication is listening – so if you want to improve your project's communication listen, listen, listen.

Personality conflicts can get in the way of communications and can disrupt your project. Each person on the project brings a unique personality and some accommodation should be made for these differences. Egos and personalities are present on every project, however, project issues should remain project issues and not become personal issues.

Follow-up Partnering Session(s)

Partnering requires an on-going commitment. Sometimes the best way to renew a failing commitment is to hold a partnering session midway into the project. Another time you might consider holding a follow-up partnering session is when there is a significant change of personnel on the project, issues remain unresolved (see Chapter 7), or the project enters a new phase of work. Holding a follow-up partnering workshop will help to keep your partnership strong and your project on track, or even turn around a project that is going sour.

Your Facilitator

Your partnering facilitator is a project resource – be sure to make use of her/him. Whenever you have questions about what to do, or if you need a sounding board, just give your facilitator a call. Facilitators work on dozens of projects each year and can probably offer you some sound suggestions on your partnership.

Team Building Activities

Construction projects, like any other work, usually don't go well when the people working on them dislike coming to work. People can't find solutions to problems when they're stressed and fearful. It is important to the success of your project that project personnel have a sense of enjoyment. Such a sense can be achieved by holding regular joint team events. Partners shall adhere to their ethics policies.

Partnering Video

The Caltrans Partnering Steering Committee has produced a partnering video to use in training field personnel and crews on the reasons and benefits of partnering projects. The video explains Caltrans' approach and objectives for partnering. It is suggested that each individual on your project view this video when they first come onto your project. The video can be obtained from your Caltrans district construction office.

Separating People from the Problem

Often, when conflict erupts on our project, we begin to look for who is to blame. It is easy to get caught up in the "fight", and in "winning", and not in getting the issue resolved while ensuring that your relationships remain undamaged. Don't forget, everyone will still have to work together to complete the project. Because we become engaged in the fight over "winning" (and especially in not losing), we often don't take the time to really understand the problem - we make assumptions. Frequently the assumptions turn out to be only partially correct. Then we find we can't come up with a good solution (or even a good "blaming") because we are working with false assumptions. Here are some steps that can be taken to avoid being trapped in this viscous cycle:

Step #1 Seek to Understand the Problem

Ask probing questions to try to flesh out all aspects of the problem - no matter how angry or hostile the other parties seem to be. Don't become defensive; you are trying to understand the problem and the assumptions each of the other stakeholders have. This will give you a clearer picture of what the real issues are.

Step #2 Don't Make It Personal

Take an objective point of view - don't become engaged in the battle. Take the role of negotiator or fact finder. The more people get wrapped up in the battle and in trying to win, the more likely they are to start feeling that the issue is a personal matter. But remember, it's a project issue, and your success will depend on your ability to not take things personally.

Step #3 Don't Seek to Blame

Don't seek to blame - instead, seek solutions and understanding. People generally act logically; your job is to find the logic behind their actions. It's always there and often has nothing to do with the stated problem. Pointing fingers makes everyone defensive, stopping communication. No project problem was ever solved by blaming someone. We are all in this project together - we will succeed or fail together.

Step #4 Agree on the Problem

Work to gain agreement on what the problem is before you attempt to find solutions. If we don't agree on what the problem is, how can we ever agree on the solution?

If we follow these four steps, we will go a long way to having productive problem solving on our projects.

CHAPTER 5

MEASURING PROGRESS

What gets measured gets done.
W. Edwards Deming

Getting Feedback

A feedback system has been designed to tell how well your partnership is doing. The system includes a project survey (report card) to help you identify trends (both positive and negative) so you can take corrective action quickly or offer congratulations to the project team.

You will rate your project on a scale of 1-10 in each of five areas, with 10 indicating the highest level of satisfaction. The areas being measured are: 1) mutual respect, honesty, trust, and fairness; 2) horizontal and vertical communication (communication between organizations at the same level and communications up and down each organization's chain of command); 3) effectiveness and efficiency of dispute resolution; 4) recognition of opportunities for improvement; and 5) relationships with all stakeholders. The survey form includes a space to list ideas for improvement in each of the five areas. The survey concludes with the following questions:

- What, if anything, caused a change in your score for this month?
- How many disputes were resolved at the job site level this month?
- How many project improvements were made this month (quality, value engineering, schedule)?
- Do you have any comments on the partnering process?

Completing the Monthly Survey

Each member of the partnering team will complete the Partnering Evaluation monthly for the duration of the project. This survey will be conducted on all major projects. The completed forms will be collected and tallied by the RE with the assistance of the project manager or project staff. The tallied scores for the project will be entered into the Caltrans Partnering Database located on the Caltrans intranet (see Appendix D for guidelines).

District summaries will be created by combining the scores from all projects within each district. The results will be presented in a graphical format so trends can be easily identified. The district scores will be rolled up into a statewide graph. This will allow project leaders to compare their project's partnering progress with other's in their district and with the statewide average (see Appendix E for sample summary graphs).

Negative responses in any monthly survey, or a negative trend in responses will be "red flagged" by the reporting software. This will allow you to investigate the underlying causes and take corrective action. Ideally, over time, the scores reported by contractors will be the same as those reported by Caltrans personnel on any given project, and there will be an upward trend toward higher satisfaction in each measurement area.

Posting and Distributing Results

The RE and PM are responsible for collecting the data. The summary reports are to be posted each month in the job site trailer or office so that all of the partners on the project can see how they are doing. You may chose to distribute the reports to each of your team members. If the report identifies areas in need of improvement, the project team leaders should meet and discuss a course of action. Likewise, if the report identifies areas going well and/or improving, the team leaders should be sure to offer their congratulations to the project team.

Monthly Project Partnering Evaluation Survey No. _____		
You are (circle one): Caltrans / Contractor / Subcontractor / Other _____		
Name (optional): _____		
Contract # _____ Contractor _____		
Resident Engineer _____ Project Manager _____		
Date ____/____/____ Contract working day/total contract working days ____/____		
<p><i>Your input is very important to evaluate this project</i></p> <p><i>Measuring scale: 1 to 10 with 10 indicating your highest level of satisfaction</i></p> <p>Please indicate you level of satisfaction on this project</p>		
		Satisfaction Level
1	Mutual respect, honesty, trust and fairness How can we improve: _____ _____	1 2 3 4 5 6 7 8 9 10
2	Horizontal and vertical communication How can we improve: _____ _____	1 2 3 4 5 6 7 8 9 10
3	Disputes resolved efficiently and effectively How can we improve: _____ _____	1 2 3 4 5 6 7 8 9 10
4	Potential opportunities for improvement are recognized How can we improve: _____ _____	1 2 3 4 5 6 7 8 9 10
5	Relationship with all stakeholders How can we improve: _____ _____	1 2 3 4 5 6 7 8 9 10
Total satisfaction level (sum 1-5): _____		
What, if anything, caused a change in your rating for this month: _____ _____		
Number of disputes resolved this month at the job level: _____		
No. of project improvements this month (quality, value engineering, schedule, etc) _____		
Please feel free to comment on the partnering process: _____ _____ _____		

CHAPTER 6

THE DISPUTE RESOLUTION LADDER

*Three-fourths of the miseries and misunderstandings
in the world will disappear if we step into the shoes
of our adversaries and understand their point of view.*

Gandhi

Elevation of an Issue

One of the cornerstones of partnering is the dispute resolution ladder. This process is also called elevation of an issue. The dispute resolution ladder is created during your partnering workshop (or at your expanded pre-construction meeting). At the top of the ladder are the two primary parties to the contract, Caltrans and the Contractor. Lining up behind these two primary parties are all of the other project stakeholders. For example, behind the Contractor are the subcontractors and suppliers. Behind Caltrans might be design, surveys, or the laboratory. If any of these project stakeholders have a dispute, the two main parties are obligated to champion that dispute, along with the disgruntled party, through the dispute resolution process.

Each party to a dispute needs to understand the other person's position – understand it well enough that they can explain it to the other's satisfaction.

	Design/Surveys/Lab	Subs/Suppliers
Level	Caltrans	Contractor
I	Inspector	Foreman/Superintendent
II	Resident Engineer	Project Manager
III	Construction Engineer	Area Manager
IV	Office Chief of Construction	Operations Manager
V	Division Chief, Construction	Owner; President

The process starts at the lowest level possible for each organization and proceeds up through both organizations' hierarchy until the issue is resolved. An issue is elevated to the next higher level when 1) an agreement cannot be reached at the

current level within the agreed upon time, or 2) if more than the agreed upon time has passed without a solution, or 3) by request of one of the parties at the current level (after first informing the other party).

Elevation to the next level in the dispute resolution ladder should be done in writing if possible. This can simple be a "speedy memo" addressed to the next level explaining the problem (issue) and identifying the points of disagreement. It is best if it is written by both parties. See Appendix G for an example.

Once the issue is elevated, it is incumbent on the next level to meet as soon as possible to try and negotiate a resolution. It is important that a separate meeting be held to address the issue (don't try to do it, for example, in the middle of the weekly project meeting). Also, don't assume that the next level truly understands the issue and points of disagreement, or that there will be automatic concurrence with your position, even if you have discussed the issue previously.

If the issue is elevated to the top of the ladder without resolution, you may, with mutual agreement choose to use one of the alternative dispute resolution (ADR) process described in Chapter 7. You may choose to jump to an ADR process at any level in the dispute resolution process, as long as there is mutual agreement to do so.

The process works if you use it. Many times when asked if an issue has been elevated the project team says “no, it hasn’t.” No process will work if it isn’t used. Given the complexities of our projects, it is natural and expected that there will be disputes. What is unacceptable is to ignore a dispute. Here are a few suggestions for overcoming barriers to using the dispute resolution ladder.

What is a Dispute Anyway?

Many times no one on the project really understands that they are engaged in a dispute. Most project team members work daily to resolve problems, so often they fail to see that what was a project problem has now become a project dispute. Here is a simple definition of what constitutes a dispute: A dispute is a disagreement between two or more people. It's that simple. When a dispute continues for some period of time without any movement toward solution, you are at an impasse. When at an impasse, people are usually entrenched in their positions and want to WIN, or at least prove that they are right and that the other person is wrong.

Your dispute resolution ladder is designed to keep you from reaching an impasse. Any party involved in the issue can tell the other party(ies) that they feel the issue has become a disagreement (dispute) and thus move it into the dispute resolution process. Let the process work for you - it will preserve relationships and resolve disputes in a timely manner.

I Can’t Give Up Now

Another barrier is that people at project levels may feel that they have failed (and/or that they may be chastised) if they elevate an issue, or it may be that they want to maintain control at their level. Some disputes stay at level I for four to five months when the agreed upon time to elevate was one day. War was the result – no cooperation, no communication, loss of production, not to mention lots of stress. It is the responsibility of upper management to ensure that it is safe for field team to honestly work to solve problems, and to encourage them to elevate the issue to the next level if they can’t get it resolved themselves. Elevation of an issue is not a sign of failure.

Disputes Deserve Their Own Meeting

As stated before, when an issue is elevated it is important that a special meeting be held to discuss the dispute at hand. Many times people will say “well, I talked to him at our weekly meeting”. This does not elevate the issue. You need to call and schedule a separate meeting, at which you will discuss, seek to understand, brainstorm ideas about, and seek resolution of only the disputed issue. A special meeting should be held each time an issue is elevated to the next higher level.

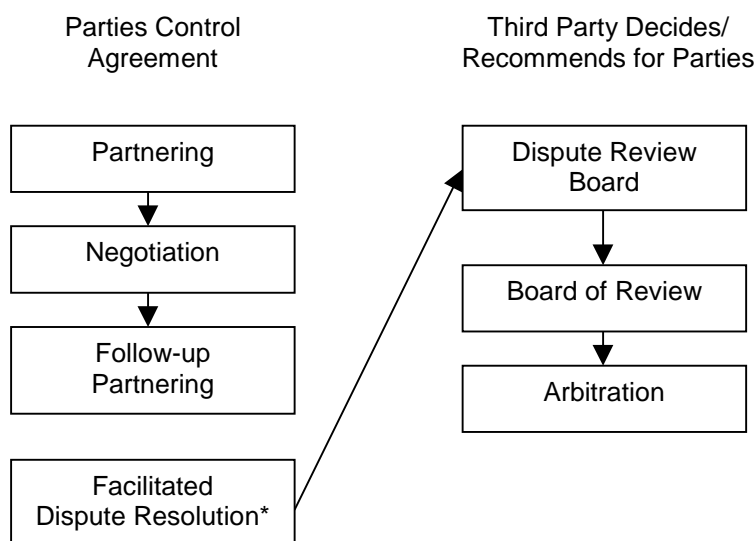
CHAPTER 7

WHEN THINGS AREN'T GOING AS WELL AS DESIRED

Never, never, never give up.
Winston Churchill

Alternative Dispute Resolution

Alternative dispute resolution (ADR) is a growing wave within the construction industry. Frustrated with litigation, owners and contractors are looking for new ways to prevent and resolve project disputes. When looking at ADR there is a hierarchy. Starting with less formal processes such as partnering, the dispute moves to more formal ADR processes such as arbitration until it is resolved. This multi-tiered approach has proven very successful for many owners and contractors.

**Examples of ADR Processes**

Partnering Dispute Resolution Ladder	In your partnering session you developed a dispute resolution ladder as stated in Chapter 6. It is a very important tool for resolving project issues. See Chapter 6 for more details on how to make it work.
Dispute Review Board	The dispute review board has been established as an advisory body that makes recommendations in order to resolve disputes between the State and Contractor. The dispute review board consists of three neutral members. One member is selected by the Contractor, one by Caltrans, and the third by the first two board members. The dispute review board members are usually individuals who have been in the industry for many years and can offer sound technical advice and reasoned findings. The specification language for DRBs can be found in the contract special provisions.
Follow-up Partnering	A follow-up partnering session can also be an excellent forum for resolving outstanding issues. This “course correction” can be instrumental in turning around a project that is going sour. The process also reinforces the concepts of partnering and asks the project team to recommit to the process. After all, even after the dispute is resolved you all still have to work together.

Facilitated Dispute Resolution*	Facilitated dispute/claims resolution is an extension of the partnering process, bringing together all stakeholders with a trained, neutral facilitator. The session is held in an informal setting with each side presenting their “story”, facts, and supporting information. With the help of the facilitator issues are broken down into parts (sub issues), and each part is resolved on its merits. The process itself creates a deadline for resolution.
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* This process is currently under study and is not yet an option in our contracts. If you feel FDR could benefit your project please contact your District Construction Manager.

Red Flags/Triggers for When to Implement ADR

There are certain “red flags” which should be monitored; when one occurs it is a signal for the use of an ADR process. Here are a few flags to look for:

- Positioning letters being written without prior discussion
- Key stakeholders not attending weekly meetings
- A pattern of conflict or miscommunication
- Excessive NOPCs (Notice of Potential Claims)
- A downward trend on the partnering evaluation survey

CHAPTER 8

PARTNERING IS YOUR RESPONSIBILITY

*People who say it can't be done
should not interrupt those who are doing it.*
John Canfield and Mark Victor Hansen

Do What it Takes

One definition of insanity is to continue doing the same thing, in the same way and expect different results. For partnering to truly become the “way we do business” everyone must do some things differently.

It Takes Commitment

Partnering will not happen just because you’ve read this field guide or because your boss told you it was a good idea. You must be committed to the concept and the process. This means working continuously to improve your abilities to partner. There are partnering skills that can be learned and honed. You can help teach others how to make partnering work.

It Takes Support

Although the primary responsibility for leading the partnering effort falls on the RE and PM, it takes everyone’s support at all levels in all organizations to make it really work. Give your project team leaders the support they need to make every project a partnered project.

It Takes Open Mindedness

It takes open mindedness to learn new ways of doing old things. Being open to learning new skills through training or by listening to your counterparts even when you adamantly disagree takes self control and an open mind. This guide has described many different tools that you can use – it’s your challenge to use them and to keep an open mind when you do.

Caltrans Partnering Award

Caltrans is initiating an annual Partnering Excellence Award. This award will be presented to Caltrans projects that best exemplify the principles of partnering. For guidelines, criteria, and an application to nominate your project, contact your local Caltrans district construction office.

The stated purpose of the Partnering Excellence Award is to:

- Identify excellence in partnering on Caltrans projects
- Celebrate successes
- Honor the stakeholders
- Encourage and maintain the momentum of partnering
- Perpetuate the process of partnering

Factors used in selecting award recipients are:

- Adherence to the principles of partnering
- Teambuilding
- Improved communications
- Conflict/dispute resolution
- Delivery of a quality project
- Scores on the Partnering Evaluation Survey

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APPENDIX A

PRE-CONSTRUCTION LETTER AND QUESTIONNAIRE

(Date)

(Contractor)

RE: Pre-Construction Meeting and Request for Questions and/or Clarification

Subject: Contract No. _____ and notice of Resident Engineer

Your company was the apparent low bidder of the above contract on _____ (date) _____.
I will be the Resident Engineer on this project.

(Include any standard requests for contract documents or submittals required by the contract.)

To assist the Caltrans Project Team in its preparation for the upcoming Pre-Construction and/or Partnering Workshop, please complete the attached questionnaire (Attachment #1) and return it to me along with any other questions, concerns or requests for clarification within five working days of your receipt of this request.

Early knowledge of this information will allow our Project Team time to do the appropriate research either within Caltrans or with the appropriate external sources to properly respond at the Pre-Construction and/or Partnering Workshop.

(Use A or B)

- A. At this time, the State is not aware of any major changes to the contract documents or any issue that would effect the contractor's schedule on this project.
- B. At this time, the following is a list of issues that have been discovered during the bid process for this project and will be discussed at the Pre-Construction meeting.

I will forward an agenda for our Pre-Construction meeting ten days prior to the date of this meeting so that you may prepare your staff and invite your subcontractors.

If you have any questions or need additional information, please contact me at your earliest convenience.

Sincerely,

RESIDENT ENGINEER

ATTACHMENT #1

Project Name and Contract No.: _____

In preparation for the Pre-Construction Conference, please respond to the following questions. Use additional sheets as needed.

1. List utility companies, irrigation districts, railroads, municipalities and any other agencies that you feel coordination with is important. Also indicate which of these companies you would like a representative from to attend the Pre-Construction meeting

2. Scheduling concerns: _____

3. Construction phasing and/or construction staging concerns: _____

4. Conflicts between design plans, special provisions, standard specifications and/or standard plans: _____

5. Construction methodologies and/or construction procedures that you intend to use that you feel warrant up-front discussion and/or consideration: _____

6. Traffic control concerns: _____

7. Errors in bid quantities: _____

8. QC/QA questions: _____

9. Potential CRIPs/value engineering: _____

10. Other issues: _____

Contractors Signature

Date

APPENDIX B

ADDITIONAL AGENDA ITEMS FOR THE PRE-CONSTRUCTION MEETING WHEN NO FORMAL PARTNERING IS SPECIFIED

1. Progress Schedule (Critical Path)

(Promote CPM schedule as a tool to help both parties)

Working schedules (one and three week)

(To promote early discussion of upcoming construction activities)

Regularly scheduled meetings

(Promote open communication)

2. Partnering (Encourage Formal Partnering)

(Emphasize State's commitment to partnering)

Exchange of State and Contractor organization charts

3. Potential Claims

Resolution of issues and potential claims at the lowest level

(Resolution in the field is to the benefit of both parties)

Prompt escalation of issues which remain unresolved in the field

(To assure that unresolved disputes continue to be pursued. Avoid waiting to the end of the project to resolve issues)

4. Change Orders (Force Account)

Agreement between the foreman and the inspector regarding labor and equipment at the end of shift is preferred (even if entitlement is in doubt)

(Initiate at this meeting and assure it is continued throughout the project. Resolve or escalate disputed EWBs (extra work bills))

5. Discussion of Issues in Pre-Construction Letter (Attachment #1)

(Caltrans's team must work together during the first days of the project to clarify and resolve contractor highlighted issues)

Possible formation of teams to resolve identified issues

(Early cooperative resolution of issues will set tone for the remainder of the project)

6. Potential CRIPs (Cost Reduction Incentive Proposals)

(This concept can work only when both parties pursue it expeditiously)

APPENDIX C

SAMPLE PARTNERING AGREEMENT

PARTNERING AGREEMENT

Project: _____
Contract Number: _____

We, the Partners associated with the _____ project understand that this partnering agreement imposes an obligation of Good Faith and Fair Dealing in its performance.

The Partners, with a positive commitment to honesty and integrity, agree to the following mutual duties:

- A. Each will perform the requirements applicable to their duties and responsibilities.
- B. Each will assist in the other's performance.
- C. Each will avoid hindering the other's performance.
- D. Each will proceed to fulfill its obligations diligently.
- E. Each will cooperate in the common endeavor of the contract.

The Contractor's Project Manager, _____ name _____, will oversee the construction of the work and the Contractor's operations to ensure that the Contractor satisfies his/her obligations, including those related to quality, as set forth in the contract.

The Resident Engineer, _____ name _____, will administer the contract on behalf of both the State and the Contractor. As the administrator of the contract, the Resident Engineer will protect the Contractor's rights relating to the contract, as well as those of the State.

PARTNERING AGREEMENT

To ensure that the objectives for this agreement are met, the Partners agree to work together, both collectively and individually, in a spirit of trust and cooperation to achieve the specific goals and objectives as follows:

- Safety
- Quality
- Schedule
- Utilities
- Cost Control
- Identifying Value Engineering Opportunities
- Traffic Control
- Community Relations
- Timely Progress and Final Payments
- Environmental Protection
- Partnering Relationships
 - Communications
 - Meetings
 - Teamwork
 - Problem solving
 - Issue elevation

Note: these items should be expanded upon to be project specific

Date: _____

_____ signatures _____

_____ signatures _____

APPENDIX D**GUIDELINES FOR COMPLETING AND MANAGING THE MONTHLY PARTNERING EVALUATION SURVEY**

1. Purpose: Your project survey is designed to measure and provide timely feedback on the relationships between all partnering team members. The feedback can be utilized to recognize relationships improvement opportunities. This survey will be used on all major projects
2. Instruction: Each member of the partnering team will complete the survey monthly for the duration of the project.

The survey was designed to be simple with only five questions that have a 1-10 satisfaction level, making for a maximum score of 50. Each of these five questions has a comment line to suggest an improvement. Included in your survey are additional questions to help measure partnering effectiveness.

Please complete all portions of the survey. The results can be entered in to the Caltrans Database via a terminal at the job site or closest available site.

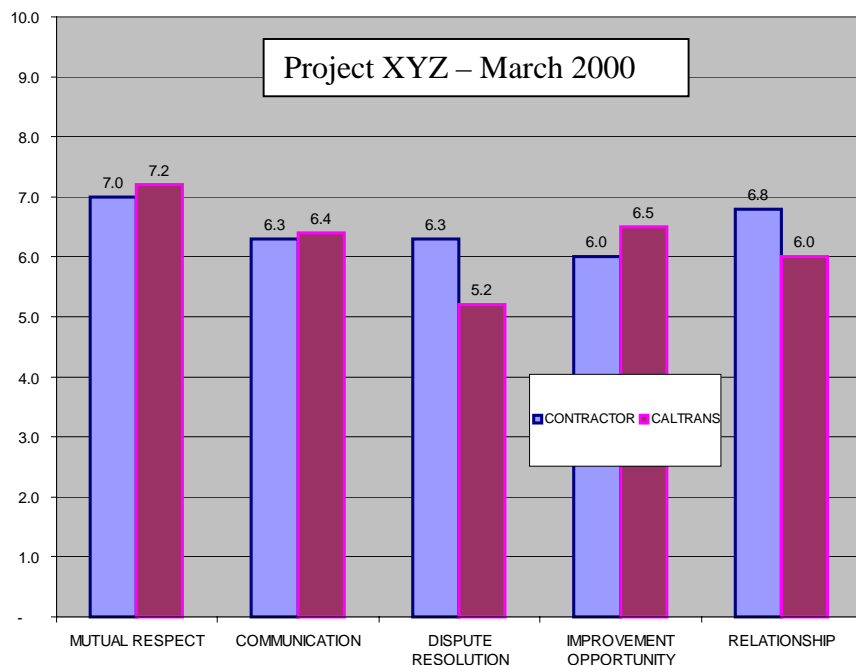
3. Feedback: Your survey responses will be collected and feedback will be available within two weeks of completing each survey. The information will be available from the Caltrans intranet site: <http://babycray2.caltrans.ca.gov/hq/construc/>. The information will be segregated into Caltrans and Contractor responses. Each of the five satisfaction level questions will be graphed and all written comments will be noted. The feedback will allow project personnel to evaluate the satisfaction levels throughout the project and take appropriate action.

The web site will include a graph indicating the satisfaction levels for individual projects along with the overall averages for each district and for Caltrans as a whole. This information will be evaluated by Caltrans senior management and Contractors to identify clear leaders in partnering along with areas for improvement.

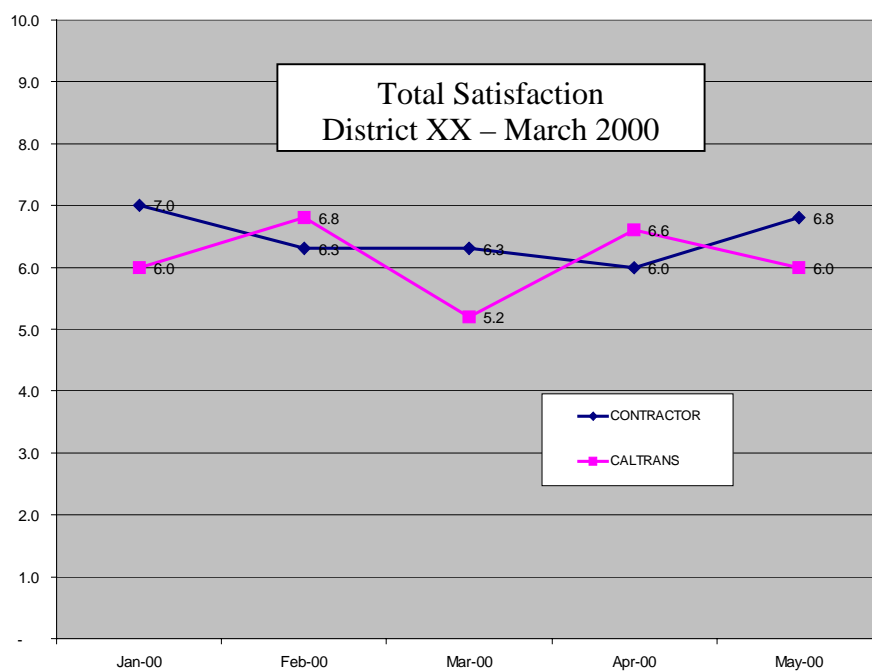
The Construction Engineer and Division Chief will be monitoring trends on all projects.

APPENDIX E

SAMPLE PARTNERING SURVEY SUMMARY REPORTS



Example graph of Monthly Evaluation Results for a specific project



Example graph of trend in Total Satisfaction for a specific District

Partnering Evaluation - (Survey Input)

Monthly Project Partnering Evaluation Survey

You are? Select one: Contract Information: Name (optional):

Contract #: Contractor: Total contract working days:

Resident Engineer: Project Manager:

Date: Contract working day:

Measuring Scale: 1 to 10 with 10 indicating your highest level of satisfaction.

		Satisfaction level
1.	Mutual respect, honesty, trust and fairness..... How can we improve? <input type="text"/>	<input type="text"/>
2.	Horizontal and vertical communication..... How can we improve? <input type="text"/>	<input type="text"/>
3.	Disputes are resolved efficiently and effectively..... How can we improve? <input type="text"/>	<input type="text"/>
4.	Potential opportunities for improvement are recognized..... How can we improve? <input type="text"/>	<input type="text"/>
5.	Relationship with all stakeholders..... How can we improve? <input type="text"/>	<input type="text"/>

Total satisfaction level (sum 1-5)

What, if anything created a change in your rating for this month:

Number of disputes resolved this month at the job level:

Number of project improvements this month (quality, value engineering, schedule, etc.):

Please feel free to comment on the partnering process:

The on-line partnering evaluation survey form

APPENDIX F

EXAMPLE ELEVATION OF AN ISSUE MEMORANDUM

RESIDENT ENGINEER LEVEL

Project Name: _____ Project Number: _____
Caltrans Dist/Org: _____ Prime Contractor: _____

This issue is: ☐ A policy issue ☐ An administrative issue ☐ A technical/specification issue

List individuals and organizations affected by this issue and its resolution, i.e. Design, Materials, Maintenance, Local Government, Utilities, Other Governmental Agencies, School Districts, the traveling public: _____

Name/Position/Organization: _____

Brief description of issue needing further assistance for resolution: _____

Brief description of resolutions attempted: _____

Names of persons assisting with resolution at this level:

Additional comments or recommendations: _____

Issue resolved ☐ No Forward to next level on _____ (date) at _____ (time)
at this level? ☐ Yes Describe resolution below:

If resolved, written feedback of the resolution was transmitted to Team Members and persons affected by this issue on _____ (date) at _____ (time)

Caltrans Resident Engineer

Contractor Representative

APPENDIX G

PARTNERING FIELD GUIDE CHECKLIST

Prepare for Partnering	Commit to partnering as our way of doing business	
	Understand win-win negotiating	
	Understand partnering values and the role of the RE and PM	
	Issue pre-construction letter	
	Review response to pre-construction letter and prepare for pre-construction meeting (add additional items to pre-construction meeting agenda if no formal partnering is specified)	
	Hold pre-construction meeting	
Hold the Partnering Session	Make offer to partner (or receive request from Contractor)	
	Project team attends joint training session on partnering concepts (where specified)	
	Schedule and reserve facility for kick-off partnering workshop	
	Obtain partnering facilitator's services	
	Determine length of partnering workshop, agenda, and attendees list	
	RE and PM meet prior to partnering workshop to discuss and prepare	
	Hold the partnering workshop	
During the Project	Have project personnel view Caltrans partnering video	
	Schedule and hold weekly project meetings	
	Commit and uphold your commitment to not writing letters without talking to each other.	
	Determine if a follow-up partnering session(s) should be held	
	Schedule and hold team building activities	
	Complete the monthly partnering evaluation survey	
	Post and distribute the results from the monthly partnering evaluation survey	
	Meet to review and discuss survey results – make adjustments as needed	
Issue Resolution	Use the dispute resolution ladder developed during the partnering workshop	
	Understand the ADR processes available and the “red flag” indicating their use	
	Submit your project for the Caltrans Partnering Excellence Award	

If you have questions or comments regarding this
Partnering Field Guide, please direct them to the
Caltrans District Construction Office



PARTNERING ON CALTRANS PROJECTS